

Financial Professional Gateway (FinPro)

Systems changes effective January 1, 2023, in support of FINRA Continuing Education (CE) Transformation*

*See [FINRA Regulatory Notice 21-41](#) for related FINRA CE rule changes

System Feature/Area	Description of Change
Mobile accessibility	In addition to accessing FinPro from a desktop computer, users will be able to log in to FinPro from a mobile device. See https://www.finra.org/upgrade for a list of supported mobile devices and operating systems.
Regulatory Element Continuing Education	<p>The Regulatory Element Continuing Education section of FinPro will change as follows:</p> <ul style="list-style-type: none"> • An individuals' view of annual Regulatory Element requirements will show a listing of the courses they have been assigned based on their active registrations. • Assigned annual Regulatory Element courses are provided in a dedicated subsection of the Regulatory Element Continuing Education section. <ul style="list-style-type: none"> ○ Dropping or adding a registration may result in a change to the assigned courses included in a learning plan. This may result in a change to overall Regulatory Element completion status. ○ Each required course will have a launch link. • Annual Regulatory Element course history will be displayed in FinPro. <ul style="list-style-type: none"> ○ Course completion status will be listed in a dedicated subsection of Regulatory Element Continuing Education section. • Registered persons will be able to view and print a transcript of all "Completed" annual Regulatory Element courses.
Annual Regulatory Element notifications	If a firm opts to utilize these notifications, registered individuals may receive FINRA CE completion email reminders during specified time increments and/or notifications of CE status changes. The notification may also include an indication of an earlier deadline set by the firm for individuals to complete their Regulatory Element courses. Notifications are sent to all email addresses associated with the user's FinPro account.
Maintaining Qualifications Program (MQP)	Systems updates to facilitate payment of annual MQP participation fee:

	<ul style="list-style-type: none"> • MQP Participants who are currently enrolled in the MQP and are eligible to continue in the program will have the ability to pay their annual MQP participation fee to access their 2023 MQP Learning Plan. <ul style="list-style-type: none"> ○ Prior to paying the fee, the individual will be shown the total fee amount and the 2023 learning plan required to remain in the program. <p>The MQP Learning Plan section of FinPro will change as follows:</p> <ul style="list-style-type: none"> • If an individual has assigned annual MQP courses, the courses will be provided in a dedicated subsection of the MQP Learning Plan called Current MQP CE. <ul style="list-style-type: none"> ○ Dropping a qualification from the MQP or adding a qualification to the MQP may result in a change to the assigned courses included in the learning plan. • Course completion status will be listed in a dedicated subsection of the MQP Learning Plan called MQP CE History. • MQP participants will be able to view and print a transcript of all completed MQP courses.
<p>Qualification Exam Waiver Continuing Education</p>	<p>FinPro users who have been assigned Regulatory Element courses as a condition to the grant of one or more qualification exam waiver requests will see course assignments in a dedicated subsection Qualification Exam Waiver Continuing Education.</p> <ul style="list-style-type: none"> • Each required course will have a launch link. • Course completion status will be listed in a dedicated subsection of Qualification Exam Waiver CE History. • FinPro users will be able to view and print a transcript of all “Completed” Qualification Exam Waiver courses.

FINRA Gateway – Firm View

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System Feature/Area	Changes related to Regulatory Element
Queue totals	<p>FINRA Gateway queue totals will see some new queues and the retirement of queues that are no longer applicable due to the transition to an annual Regulatory Element requirement with an annual December 31 regulatory deadline.</p> <ul style="list-style-type: none"> • Retiring Queues: <ul style="list-style-type: none"> ○ Approaching CE Requirement (in next 7 days) ○ Currently CE Required • New Queues: <ul style="list-style-type: none"> ○ Annual CE Inactive ○ Annual CE Required ○ Annual CE Satisfied ○ Annual CE 2-Year Termed
Individual profiles: CE	<p>Individual Profiles will change as follows:</p> <ul style="list-style-type: none"> • The Regulatory Element section will display the titles of any assigned courses as part of an individual's annual Regulatory Element learning plan. Registered individuals will no longer be assigned an S101 or S201 session type, as they will be assigned courses related to the applicable registrations they are actively holding. • Dropping or adding a registration may result in a change to the assigned courses included in the individual's learning plan. This in turn may result in a change to the individual's overall Regulatory Element CE completion status.
Preregistration Search	<p>Preregistration search results will reflect the overall CE status, not the status of registrations that may have been dropped, as CE status is at the individual level.</p>

Form U4	S101 and S201 will no longer be available options to select in Section 7 of the Form U4. Therefore, firms will no longer be able to request an S101 or S201 session type for an individual.
Regulatory Element CE notifications to firms	Firm CE notifications from CRD will be retired. A new quarterly email reminder will be sent to the designated CE contact with a link to FINRA Gateway Reports where firms will be able to run reports on individuals' CE statuses.
Automated Regulatory Element CE notifications to individuals (optional)	<p>Firms will continue to be able to utilize an optional automated notification feature that is available in Firm Settings that allows firms to send notifications to registered FinPro users who have a Regulatory Element requirement. However, components of this optional feature will change to align with the transition to an annual Regulatory Element requirement as follows:</p> <ul style="list-style-type: none"> • Updated firm settings options related to CE notifications will be launched on January 1, 2023. Therefore, firms that are interested in continuing to leverage this feature in 2023 would need to log in and update their firm settings preferences beginning on January 1, 2023. • CE notification settings preferences will include the following dates to send reminder emails for CE completion: <ul style="list-style-type: none"> ○ January 15, April 15, July 15, October 15, December 1 and December 15. • A new setting will provide the option to send a notification based on CE status changes such as: <ul style="list-style-type: none"> ○ CE Required, CE Inactive, CE 2-Year Termed and CE Satisfied. • Firms will have the ability to set a firm deadline for individuals to complete their annual Regulatory Element CE. This due date will be included in the email notifications and represented as the firm's due date along with FINRA's due date. FINRA will enforce FINRA's CE deadline. Firm due dates do not have an impact on CE status. • Firms will also have the ability to send a copy of the email to multiple firm contacts.
Ad-hoc firm tracking and management via FINRA Gateway Reports	<ul style="list-style-type: none"> • FINRA Gateway Reports will provide the following new template reports to align with the transition to an annual Regulatory Element requirement: <ul style="list-style-type: none"> ○ Annual CE Satisfied ○ Annual CE Inactive ○ Annual 2-Year Termed ○ Annual CE Required

	<ul style="list-style-type: none"> ○ Annual CE Course Status ○ Annual CE Statuses • Legacy CE templates will be replaced by the new templates listed above. • Template reports that have legacy CE data will no longer be updated and will have text in their descriptions indicating that the CE data they contain is stale. • Custom templates that had legacy CE data will no longer have up-to-date data. Users will need to create new custom templates using the new Annual CE Templates.
<p>Automated firm tracking and management via machine - to - machine APIs</p>	<ul style="list-style-type: none"> • The following webpage will publish an Annual CE dataset that properly authorized users will be able to access via APIs: developer.finra.org <ul style="list-style-type: none"> ○ The Annual CE dataset will be comprised of the data points included in the FINRA Gateway Reports CE reports. ○ This will allow the API user to ingest the data they are seeking and will enable them to either recreate the FINRA Gateway Reports within their own environment or create their own customized reports for internal consumption. • API users will continue to have access to legacy CE data that will not be updated post January 1, 2023, by querying the existing dataset.
<p>Firm tracking and management via Web EFT</p>	<ul style="list-style-type: none"> • Fields that are no longer applicable to CE data will be replaced with a null value. <ul style="list-style-type: none"> ○ For example, the Web EFT report will not include CE windows as these are no longer valid. • The top-level CE status will continue to be available.